

PTO/SB/21 (08-03)
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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/626,856
Filing Date	July 25, 2003
First Named Inventor	Thorsten H. BRANTS et al.
Art Unit	2171
Examiner Name	Not Yet Assigned
Attorney Docket Number	D/A3052-311290

Total Number of Pages in This Submission 8 p + 18 cgs

ENCLOSURES (Check all that apply)

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Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Christian Austin-Hollands (Reg. No. 46,527) Customer No. 31011
Signature	
Date	April 20, 2004

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/626,856
Applicants : Thorsten H. BRANTS et al.
Filed : July 25, 2003
TC/A.U. : 2171
Examiner : NOT YET AVAILABLE
Docket No. : D/A3052-311290
Customer No. : 31011

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) and information listed on the attached PTO-1449 Form. One legible copy of each is attached to the PTO-1449 Form. It is respectfully submitted that the references and information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of the above application (which is not a CPA), OR (b) before the mailing date of a first Office Action on the merits. No certification or fee is required.

☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the date of the first Office Action on the merits, but before the mailing date of a Final Rejection, Notice of Allowance, or other action that closes prosecution. Please debit Xerox Corporation Deposit Account 24-0037 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). (A copy of this letter is attached.)

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☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); OR

☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c), more than three months prior to the filing of this Information Disclosure Statement 37 C.F.R. 1.97(e)(2).

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- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c), more than three months prior to the filing of this Information Disclosure Statement 37 C.F.R. 1.97(e)(2).
- ☐ 5. Per 37 C.F.R. 1.98(a)(3), a concise explanation of the relevance of each of any submitted item that was not in the English language is either enclosed herewith, or incorporated in the application specification.
- ☐ 6. A copy of an English language version of an above-referenced counterpart foreign application search report is attached.
- ☐ 7. Copies of some or all of the subject references were cited by, or submitted to the Office in related parent Application No. _____, filed _____, which is relied upon under 35 U.S.C. § 120. Thus, copies of these references are not attached (except for copies of cited pending applications). 37 C.F.R. §1.98(d).
- ☐ 8. A copy of each copending application recited in the parent

application of paragraph 7 above, and/or a copy of other related copending applications, is enclosed.

Respectfully submitted,



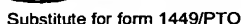
Christian Austin-Hollands

Registration No. 46,527

Date: April 20, 2004

CHRISTIAN AUSTIN-HOLLANDS ESQ.
P.O. Box 170325
San Francisco, CA 94117
Telephone: (415) 762.9543

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Sheet	1	of	3
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Complete if Known

Application Number	10/626,856
Filing Date	July 25, 2003
First Named Inventor	Thorsten H. BRANTS et al.
Art Unit	2171
Examiner Name	
Attorney Docket Number	D/A3052-311290

U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

**Examiner
Signature**

Date
Considered

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/626,856
Filing Date	July 25, 2003
First Named Inventor	Thorsten H. BRANTS et al.
Art Unit	2171
Examiner Name	
Attorney Docket Number	D/A3052-311290

Sheet 2 of 3

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Allan, J. et al., "Detection, Bounds, and Timelines: UMass and TDT-3" in Proceedings of Topic Detection and Tracking Workshop (TDT-3), Vienna, Virginia, February 2000.	
		Allan, J. et al., "On-line new event detection and tracking" in Proceedings of SIGIR-98, Melbourne, Australia, 1998, p. 37-45.	
		Allan, J., et al., "Topic-based novelty detection", Summer Workshop Final Report, Center for Language and Speech Processing, John Hopkins University, 1999.	
		Franz, M., et al., "First Story Detection: Combining similarity and novelty-based approaches", Slides at the TDT-2001 meeting, IBM, 2001.	
		Brants, T., et al., "Topic-based document segmentation with probabilistic latent semantic analysis", in International Conference on Information and Knowledge Management (CIKM), McLean, VA 2002.	
		Croft, W.B., et al., "Relevance feedback and personalization: A language modelling perspective" in DELOS Workshop: Personalisation and Recommender Systems in Digital Libraries, 2001.	
		Dunning, T.E., "Accurate Methods for the statistics of surprise and coincidence" in Computational Linguistics 19(1):61-74, 1993.	
		Hearst, M.A., "TextTiling: Segmenting text into multi-paragraph subtopic passages", in Computational Linguistics, 23(1):33-64, 1997.	
		Joachims, T., "Making large-scale svm learning practical", in Advances in Kernel-Methods Support Vector Learning, B. Scholkopf, C. Burges, A. Smola eds., MIT Press, 1999.	
		Joachims, T., "Text categorization with support vector machines: learning with many relevant features" in Proceedings of the 10th European Conference on Machine Learning, 1998, pp. 137-142.	

Examiner Signature	Date Considered
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Complete if Known	
		Application Number	10/626,856
		Filing Date	July 25, 2003
		First Named Inventor	Thorsten H. BRANTS et al.
		Art Unit	2171
Examiner Name			
Sheet 3 of 3	Attorney Docket Number		D/A3052-311290

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Lavrenko, V., et al., "Relevance models for topic detection and tracking", in Proceedings of the HLT-2002, San Diego, CA 2002.	
		Schapire, R. E., et al., Boostexter: A boosting-based system for text categorization", in Machine Learning, 2000.	
		Yang, Y., et al., "A study on retrospective and on-line event detection", in Proceedings of SIGIR-98, Melbourne, Australia, 1998.	
		Yang, Y., et al., "Topic-conditioned novelty detection" in Proceedings of the International Conference on Knowledge Discovery and Data Mining, Edmonton, Canada, 2002.	
		Zhang, Y., et al., "Novelty and redundancy detection in adaptive filtering" in Proceedings of SIGIR-02, Tampere, Finland, 2002, pp. 81-88.	

Examiner Signature		Date Considered	
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